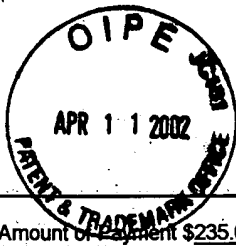


# FEE TRANSMITTAL



Total Amount of Payment \$235.00

## METHOD OF PAYMENT (Check One)

1. ☒ The Commissioner is hereby authorized to charge any additional fee required under 37 C.F.R. 1.16 and 1.17 and credit any over payments to Deposit Account No. 11-0982. Deposit Account Name: Kinney & Lange, P.A.

2. ☒ Check Enclosed

## FEE CALCULATION

### 1. BASIC FILING FEE

Large Entity Fee Code	Large Entity Fee (\$)	Small Entity Fee Code	Small Entity Fee (\$)	Fee Description
101	740	201	370	<input type="checkbox"/> Utility Filing Fee
106	330	206	165	<input type="checkbox"/> Design Filing Fee
108	740	208	370	<input type="checkbox"/> Reissue Filing Fee
114	160	214	80	<input type="checkbox"/> Prov. Filing Fee

Subtotal (1) \$

### 2. EXTRA CLAIM FEES

	Number Claims	Prior**	Extra	Fee from Below	Fee Paid
Total	*	-	*	X	*
Indep.	*	-	*	X	*
Multiple Dependent Claims				*	*

\*\*Insert 3 and 20, or number previously paid if greater; Reissue see below

Large Entity Fee Code	Large Entity Fee (\$)	Small Entity Fee Code	Small Entity Fee (\$)	Description
103	18	203	9	Claims in excess of 20
102	84	202	42	Independent claims in excess of 3
104	280	204	140	Multiple Dependent Claim
109	84	209	42	Reissue Independent Claims Over Original Patent
110	18	210	9	Reissue claims in excess of 20 and over original patent

04/24/2002 MALI11 00000015 09980231

Subtotal (2) \$

01 FC:254 65.00 OP  
02 FC:156 130.00 OP

mpl te if Known

Application No.	09/980,231
Filing Date	November 27, 2001
First Named Inventor	Harry Gozlan
Group Art Unit	
Examiner Name	
Atty. Docket Number	S857.312-1

## FEE CALCULATION (Continued)

### 3. ADDITIONAL FEES

Large Entity Fee Code	Large Entity Fee (\$)	Small Entity Fee Code	Small Entity Fee (\$)	Fee Description	Fee paid
105	130	205	65	Surcharge - Late filing fee or oath	X
127	50	227	25	Surcharge - late provisional filing fee or cover sheet	*
139	130	139	130	Non-English specification	X
147	2,520	147	2,520	For Filing a Request for Reexamination	*
115	110	215	55	Extension for reply within first month	*
116	400	216	200	Extension for reply within second month	*
117	920	217	460	Extension for reply within third month	*
118	1,440	218	720	Extension for reply within fourth month	*
128	1,960	280	980	Extension for reply within fifth month	*
120	320	220	160	Filing a brief in support of an appeal	*
121	280	221	140	Request for oral hearing	*
148	110	248	55	Terminal Disclaimer Fee	*
140	110	240	55	Petition to revive - unavoidable	*
141	1,280	241	640	Petition to revive - unintentional	*
142	1,310	242	670	Utility/Reissue issue fee (inc. advance copies)	*
143	490	243	260	Design issue fee (inc. advance copies)	*
122	130	122	130	Petitions to the Commissioner	*
123	50	123	50	Petitions related to provisional applications	*
126	180	126	180	Submission of Information Disclosure Statement	*
581	40	581	40	Recording each patent assignment per property (times number of properties)	X
179	740	279	370	Request for Continued Examination (RCE)	*

Other fee (specify) \_\_\_\_\_

Subtotal (3) \$235.00

Signature

Jeffrey D. Shewchuk

Reg. No.

37,235

Date

April 11, 2002

Deposit Account No.

11-0982



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

First Named Inventor : Harry Gozlan Appln. No. : 09/980,231 Filed : November 27, 2001 Title : PROCESS AND SYSTEM FOR PROCESSING, BY MUTUAL AGREEMENT, ORDERS TO BUY AND SELL RELATING TO STANDARD AND/OR SPECIFIC FINANCIAL INSTRUMENTS Docket No. : S857.312-0001	
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**RESPONSE TO NOTICE TO FILE MISSING PARTS  
OF APPLICATION - FILING DATE GRANTED  
UNDER 37 C.F.R. 1.53(f) AND 1.16(e)**

Box Missing Parts  
Assistant Commissioner for Patents  
Washington, D.C. 20231

SENT VIA EXPRESS MAIL

Express Mail No.: EV030140457US

Sir:

In response to the Notice to File Missing Parts of Application - Filing Date Granted dated February 11, 2002, Applicant encloses the following documents to complete the above-identified patent application filed November 27, 2001:

1. A check in the amount of \$235 to cover surcharge fees of \$65, \$135 (Late Oath and Declaration Surcharge and English Translation Surcharge), and a check in the amount of \$40.00 covering the recording fee.
2. A translation of the claims as originally filed in the International Application. Please note that the translation filed November 27, 2001 comprises:
  - (a) a translation of the specification of the PCT application as filed; and
  - (b) a translation of the set of claims as amended during the PCT proceedings, and also as amended in order to omit multiple dependencies and numeric references. These claims now provide the basis for the substitute preliminary amendment.

3. Substitute Preliminary Amendment.
4. Declaration executed by the inventor(s).
5. Power of Attorney.
6. Executed Assignment of the invention to Smart Trade Technologies, and  
Recordation Form Cover Sheet.
7. Submission Under 37 C.F.R. 3.73(b).
8. Notice to File Missing Parts of Application-Filing Date Granted.

The Commissioner is authorized to charge payment of any additional fees associated with this paper or credit any overpayment to Deposit Account No. 11-0982. A duplicate copy of this sheet is enclosed.

Respectfully submitted,

KINNEY & LANGE, P.A.

Date:

April 11, 2002

By:



Jeffrey D. Shewchuk, Reg. No. 37,235  
THE KINNEY & LANGE BUILDING  
312 South Third Street  
Minneapolis, MN 55415-1002  
Telephone: (612) 339-1863  
Fax: (612) 339-6580

JDS/RMR:beh



THE UNITED STATES PATENT AND TRADEMARK OFFICE

First Named

Inventor : Harry GOZLAN

Appln. No. :

Filed : November 27, 2001

Title : PROCESS AND SYSTEM FOR PROCESSING, BY  
MUTUAL AGREEMENT, ORDERS TO BUY AND  
SELL RELATING TO STANDARD AND/OR  
SPECIFIC FINANCIAL INSTRUMENTS

Docket No. : S857.312-0001

Group Art Unit:

Examiner:

**SUBMISSION UNDER 37 C.F.R. 3.73(b)**

Assistant Commissioner for Patents  
Washington, D.C. 20231

Sir:

Smart Trade Technologies, a French company, is an owner of the patent application identified above by virtue of either:

- A. ☒ An assignment from the inventor(s) of the patent application identified above. The assignment was recorded in the Patent and Trademark Office at Reel \_\_\_\_\_, Frame \_\_\_\_\_, or a copy of which is attached.

OR

- B. ☐ A chain of title from the inventor(s), of the patent application identified above, to the current assignee as shown below:

1. From: \_\_\_\_\_ To: \_\_\_\_\_  
The document was recorded in the Patent and Trademark Office at Reel \_\_\_\_\_, Frame \_\_\_\_\_, or a copy of which is attached.

2. From: \_\_\_\_\_ To: \_\_\_\_\_  
The document was recorded in the Patent and Trademark Office at Reel \_\_\_\_\_, Frame \_\_\_\_\_, or a copy of which is attached.

3. From: \_\_\_\_\_ To: \_\_\_\_\_  
The document was recorded in the Patent and Trademark Office at  
Reel \_\_\_\_\_, Frame \_\_\_\_\_, or a copy of  
which is attached.

The undersigned (whose title is supplied below) is empowered to act on behalf of the assignee.

I hereby declare that all statements made herein of my own knowledge are true, and that all statements made on information and belief are believed to be true; and further, that these statements are made with the knowledge that willful false statements, and the like so made, may be punishable by fine or imprisonment, or both, under 18 U.S.C. 1001, and that such willful false statements may jeopardize the validity of the application or any patent issuing thereon.

Signature: HG

Dated: 1<sup>st</sup> Feb 2002

Printed Name: HARRY GOZLAN

Title: Chief Executive Officer



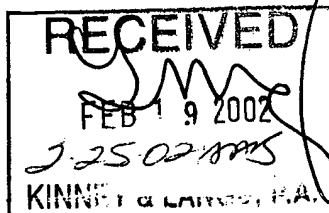
UNITED STATES PATENT AND TRADEMARK OFFICE

Commissioner for Patents, Box PCT  
 United States Patent and Trademark Office  
 Washington, D.C. 20231  
 www.uspto.gov

U.S. APPLICATION NUMBER NO.	FIRST NAMED APPLICANT	ATTY. DOCKET NO.
09/980,231	Harry Gozlan	S857.312-1

INTERNATIONAL APPLICATION NO.	
PCT/FR00/01446	
IA. FILING DATE	PRIORITY DATE
05/26/2000	05/27/1999

Jeffrey D Shewchuk  
 The Kinney & Lange Building  
 312 South Third Street  
 Minneapolis, MN 55415-1002



CONFIRMATION NO. 9979  
 371 FORMALITIES LETTER



\*OC00000007453394\*

Date Mailed: 02/11/2002

D: 4-11+8-11-2002 ms

### NOTIFICATION OF MISSING REQUIREMENTS UNDER 35 U.S.C. 371 IN THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US)

The following items have been submitted by the applicant or the IB to the United States Patent and Trademark Office as an Elected Office (37 CFR 1.495):

- U.S. Basic National Fees
- Priority Document
- Copy of IPE Report
- Copy of references cited in ISR
- Copy of the International Application
- Copy of the International Search Report
- English Translation of the IA
- Information Disclosure Statements
- Preliminary Amendments

The following items **MUST** be furnished within the period set forth below in order to complete the requirements for acceptance under 35 U.S.C. 371:

- Translation of the application into English. The current translation of the application into English is defective as described below.
  - The number of claims in the International Application and the number of claims in the translation are not the same.
- Processing fee for providing the translation of the application and/or the Annexes later than the appropriate 30 months from the priority date (37 CFR 1.492(f)).
- Oath or declaration of the inventors, in compliance with 37 CFR 1.497(a) and (b), identifying the application by the International application number and international filing date.
- \$130 Surcharge for providing the oath or declaration later than the appropriate 30 months from the priority date (37 CFR 1.492(e)) is required.

ALL OF THE ITEMS SET FORTH ABOVE MUST BE SUBMITTED WITHIN TWO (2) MONTH FROM THE DATE OF THIS NOTICE OR BY 22 or 32 MONTHS (where 37 CFR 1.495 applies) FROM THE PRIORITY DATE FOR THE APPLICATION, WHICHEVER IS LATER. FAILURE TO PROPERLY RESPOND WILL RESULT IN ABANDONMENT.

The time period set above may be extended by filing a petition and fee for extension of time under the provisions of 37 CFR 1.136(a).

SUMMARY OF FEES DUE:

Total additional fees required for this application is \$260 for a Large Entity:

- \$130 Late oath or declaration Surcharge.
- \$130 for English translation surcharge required.

Applicant is reminded that any communications to the United States Patent and Trademark Office must be mailed to the address given in the heading and include the U.S. application no. shown above (37 CFR 1.5)

*A copy of this notice **MUST** be returned with the response.*

KAREN M WILLIAMS

Telephone: (703) 305-3688

PART 1 - ATTORNEY/APPLICANT COPY

U.S. APPLICATION NUMBER NO.	INTERNATIONAL APPLICATION NO.	ATTY. DOCKET NO.
09/980,231	PCT/FR00/01446	S857.312-1